

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
VLINK.033AAPPLICATION NO.  
10/642,399INFORMATION DISCLOSURE STATEMENT  
BY APPLICANTAPPLICANT  
Samuel M. Shaolian et al.FILING DATE  
August 15, 2003GROUP  
~~2780~~ 37316

(USE SEVERAL SHEETS IF NECESSARY)

## U.S. PATENT DOCUMENTS

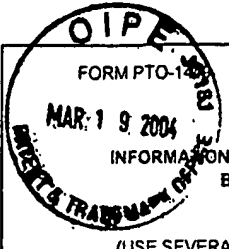
| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE     | NAME           | CLASS | SUBCLASS | FILING DATE<br>(IF APPROPRIATE) |
|---------------------|----|-----------------|----------|----------------|-------|----------|---------------------------------|
| <i>SMV</i>          | 1  | 2,338,159       | 01/1944  | Appleton       |       |          |                                 |
|                     | 2  | 4,041,939       | 08/1977  | Hall           |       |          |                                 |
|                     | 3  | 4,289,123       | 09/15/81 | Dunn           |       |          |                                 |
|                     | 4  | 4,335,715       | 06/1982  | Kirkley        |       |          |                                 |
|                     | 5  | 4,648,388       | 03/10/87 | Steffee        |       |          |                                 |
|                     | 6  | 4,722,331       | 02/1988  | Fox            |       |          |                                 |
|                     | 7  | 4,743,260       | 05/1988  | Burton         |       |          |                                 |
|                     | 8  | 4,883,048       | 11/1989  | Pumell et al.  |       |          |                                 |
|                     | 9  | 4,887,595       | 12/18/89 | Heinig et al.  |       |          |                                 |
|                     | 10 | 4,920,958       | 05/1990  | Walt et al.    |       |          |                                 |
|                     | 11 | 4,957,495       | 09/1990  | Kluger         |       |          |                                 |
|                     | 12 | 4,998,936       | 03/12/91 | Mehdian        |       |          |                                 |
|                     | 13 | 5,000,165       | 03/19/91 | Watanabe       |       |          |                                 |
|                     | 14 | 5,030,220       | 07/09/91 | Howland        |       |          |                                 |
|                     | 15 | 5,084,049       | 01/28/92 | Asher et al.   |       |          |                                 |
|                     | 16 | 5,112,337       | 05/1992  | Paulos et al.  |       |          |                                 |
|                     | 17 | 5,163,940       | 11/1992  | Bourque        |       |          |                                 |
|                     | 18 | 5,171,279       | 12/1992  | Mathews        |       |          |                                 |
|                     | 19 | 5,176,680       | 01/1993  | Vignaud et al. |       |          |                                 |
|                     | 20 | 5,242,443       | 09/1993  | Kambin         |       |          |                                 |
|                     | 21 | 5,242,444       | 09/1993  | MacMillan      |       |          |                                 |
|                     | 22 | 5,281,223       | 01/1994  | Ray            |       |          |                                 |
|                     | 23 | 5,334,205       | 08/1994  | Cain           |       |          |                                 |
|                     | 24 | 5,342,361       | 08/1994  | Yaun et al.    |       |          |                                 |
|                     | 25 | 5,357,983       | 10/1994  | Mathews        |       |          |                                 |
| <i>SMV</i>          | 26 | 5,397,363       | 03/14/95 | Gelbarb        |       |          |                                 |
|                     | 27 | 5,474,551       | 12/12/95 | Finn et al.    |       |          |                                 |

EXAMINER

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\*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 809; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

|  |  |                                       |
|--|--|---------------------------------------|
|  <p>FORM PTO-135</p> <p>U.S. DEPARTMENT OF COMMERCE<br/>PATENT AND TRADEMARK OFFICE</p> <p>INFORMATION DISCLOSURE STATEMENT<br/>BY APPLICANT</p> <p>(USE SEVERAL SHEETS IF NECESSARY)</p> | <p>ATTY. DOCKET NO.<br/>VLINK.033A</p>         | <p>APPLICATION NO.<br/>10/642,399</p> |
|  | <p>APPLICANT<br/>Samuel M. Shaolian et al.</p> |                                       |
|  | <p>FILING DATE<br/>August 15, 2003</p>         | <p>GROUP<br/>3738</p>                 |

## U.S. PATENT DOCUMENTS

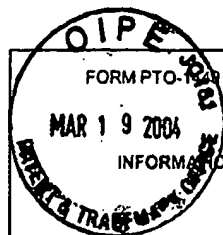
| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE     | NAME                 | CLASS | SUBCLASS | FILING DATE<br>(IF APPROPRIATE) |
|---------------------|----|-----------------|----------|----------------------|-------|----------|---------------------------------|
| <i>LMV</i>          | 28 | 5,486,174       | 01/1996  | Foumet-Fayard et al. |       |          |                                 |
|                     | 29 | 5,496,322       | 03/1996  | Mathews              |       |          |                                 |
|                     | 30 | 5,520,689       | 05/1996  | Schlapfer et al.     |       |          |                                 |
|                     | 31 | 5,562,661       | 10/06/96 | Yoshimi et al.       |       |          |                                 |
|                     | 32 | 5,569,248       | 10/1996  | Mathews              |       |          |                                 |
|                     | 33 | 5,584,887       | 12/1996  | Kambin               |       |          |                                 |
|                     | 34 | 5,591,165       | 01/1997  | Jackson              |       |          |                                 |
|                     | 35 | 5,591,167       | 01/1997  | Laurain et al.       |       |          |                                 |
|                     | 36 | 5,613,971       | 03/1997  | Lower et al.         |       |          |                                 |
|                     | 37 | 5,643,273       | 07/1997  | Clark                |       |          |                                 |
|                     | 38 | 5,649,925       | 07/1997  | Alacreu              |       |          |                                 |
|                     | 39 | 5,658,286       | 08/1997  | Sava                 |       |          |                                 |
|                     | 40 | 5,681,320       | 10/1997  | McGuire              |       |          |                                 |
|                     | 41 | 5,704,937       | 01/1998  | Martin               |       |          |                                 |
|                     | 42 | 5,728,097       | 03/1998  | Mathews              |       |          |                                 |
|                     | 43 | 5,752,955       | 05/19/98 | Errico               |       |          |                                 |
|                     | 44 | 5,800,435       | 09/1998  | Errico et al.        |       |          |                                 |
|                     | 45 | 5,891,150       | 04/1999  | Chan                 |       |          |                                 |
|                     | 46 | 5,910,142       | 06/1999  | Tatar                |       |          |                                 |
|                     | 47 | 5,938,663       | 08/1999  | Petreto              |       |          |                                 |
|                     | 48 | 6,033,406       | 03/2000  | Mathews              |       |          |                                 |
|                     | 49 | 6,099,528       | 08/2000  | Saurat               |       |          |                                 |
|                     | 50 | 6,102,912       | 08/2000  | Cazin et al.         |       |          |                                 |
|                     | 51 | 6,106,530       | 08/2000  | Harada               |       |          |                                 |
|                     | 52 | 6,120,511       | 09/2000  | Chan                 |       |          |                                 |
|                     | 53 | 6,126,689       | 10/2000  | Brett                |       |          |                                 |
| <i>LMV</i>          | 54 | 6,127,597       | 10/2000  | Beyar et al.         |       |          |                                 |

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FORM PTO-100

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
VLINK.033AAPPLICATION NO.  
10/642,399INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT  
Samuel M. Shaolian et al.FILING DATE  
August 15, 2003GROUP  
3738

## U.S. PATENT DOCUMENTS


| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE     | NAME              | CLASS | SUBCLASS | FILING DATE<br>(IF APPROPRIATE) |
|---------------------|----|-----------------|----------|-------------------|-------|----------|---------------------------------|
| <i>my</i>           | 55 | 6,129,763       | 10/2000  | Chauvin et al.    |       |          |                                 |
|                     | 56 | 6,175,758       | 01/2001  | Kambin            |       |          |                                 |
|                     | 57 | 6,187,011       | 02/2001  | Torrie            |       |          |                                 |
|                     | 58 | 6,206,922       | 03/27/01 | Zdeblick et al.   |       |          |                                 |
|                     | 59 | 6,226,548       | 05/2001  | Foley et al.      |       |          |                                 |
|                     | 60 | 6,235,028       | 05/2001  | Brumfield et al.  |       |          |                                 |
|                     | 61 | 6,296,644       | 10/2001  | Saurat            |       |          |                                 |
|                     | 62 | 6,402,784       | 06/2002  | Wardlaw           |       |          |                                 |
|                     | 63 | 6,530,926       | 03/2003  | Davison           |       |          |                                 |
|                     | 64 | 6,530,929       | 03/2003  | Justis et al.     |       |          |                                 |
|                     | 65 | 6,558,386       | 05/2003  | Cragg             |       |          |                                 |
|                     | 66 | 6,558,390       | 05/2003  | Craig             |       |          |                                 |
|                     | 67 | 6,582,467       | 06/24/03 | Teitelbaum et al. |       |          |                                 |
|                     | 68 | 2002/0022764    | 02/21/02 | Smith et al.      |       |          |                                 |
|                     | 69 | 2002/0068975    | 06/06/02 | Teitelbaum et al. |       |          |                                 |
|                     | 70 | 2002/0082598    | 06/27/02 | Teitelbaum        |       |          |                                 |
|                     | 71 | 2002/082600     | 06/27/02 | Shaolian et al.   |       |          |                                 |
|                     | 72 | 2002/0082601 A1 | 06/27/02 | Toyama et al.     |       |          |                                 |
|                     | 73 | 2002/0161368 A1 | 10/31/02 | Foley et al.      |       |          |                                 |
|                     | 74 | 2003/0060826 A1 | 03/27/03 | Foley et al.      |       |          |                                 |
|                     | 75 | 2002/0198526    | 06/24/03 | Shaolian et al.   |       |          |                                 |
| <i>my</i>           | 76 | 2004/0006341    | 01/08/04 | Shaolian et al.   |       |          |                                 |
|                     | 77 | 2004/0006344    | 01/08/04 | Nguyen et al.     |       |          |                                 |

EXAMINER

DATE CONSIDERED

7/21/05

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|   |  |                               |
|---|--|-------------------------------|
|  <p>FORM PTO-819</p> <p>U.S. DEPARTMENT OF COMMERCE<br/>PATENT AND TRADEMARK OFFICE</p> <p>INFORMATION DISCLOSURE STATEMENT<br/>BY APPLICANT</p> <p>(USE SEVERAL SHEETS IF NECESSARY)</p> | ATTY. DOCKET NO.<br>VLINK.033A         | APPLICATION NO.<br>10/642,399 |
|   | APPLICANT<br>Samuel M. Shaolian et al. |                               |
|   | FILING DATE<br>August 15, 2003         | GROUP<br>3738                 |

| FOREIGN PATENT DOCUMENTS |    |                 |          |         |       |          |             |    |
|--------------------------|----|-----------------|----------|---------|-------|----------|-------------|----|
| EXAMINER<br>INITIAL      |    | DOCUMENT NUMBER | DATE     | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|                          |    |                 |          |         |       |          | YES         | NO |
| <i>SM</i>                | 78 | 197 26 754 A 1  | 02/04/99 | DE      |       |          |             |    |
|                          | 79 | WO 97/30666     | 08/28/97 | PCT     |       |          |             |    |
|                          | 80 | WO 97/38639     | 10/23/97 | PCT     |       |          |             |    |
| <i>SM</i>                | 81 | WO 99/09902     | 03/04/99 | PCT     |       |          |             |    |
| <i>SM</i>                | 82 | WO 99/15097     | 04/01/99 | PCT     |       |          |             |    |

| EXAMINER<br>INITIAL | OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.) |  |
|---------------------|--|--|
| <i>SM</i>           | 83   | Muller et al., "A Keyhole Approach for Endoscopically Assisted Pedicle Screw Fixation in Lumbar Spine Instability".<br>Neurosurgery, Vol. 47, No. 1, July 2000, pages 85-96. |

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|---|-------------------|-----------------|---------|
| EXAMINER  | <i>Edw. M. B.</i> | DATE CONSIDERED | 7/21/05 |
| <p>*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.</p> |                   |                 |         |

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PTO/SB/08 Equivalent

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Multiple sheets used when necessary)

SHEET 1 OF 1

|                      |                           |
|----------------------|---------------------------|
| Application No.      | 10/642,399                |
| Filing Date          | August 15, 2003           |
| First Named Inventor | Samuel M. Shaolian et al. |
| Art Unit             | 3732                      |
| Examiner             | Eduardo C. Robert         |
| Attorney Docket No.  | VLINK.033A                |

## U.S. PATENT DOCUMENTS

| Examiner Initials  | Cite No. | Document Number<br>Number - Kind Code (if known)<br>Example: 1,234,567 B1 | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant | Pages, Columns, Lines Where<br>Relevant Passages or Relevant<br>Figures Appear |
|--------------------|----------|---|--------------------------------|-------------------------------|--|
| <i>[Signature]</i> | 1        | 4,892,550   | 01/09/90                       | Huebsch                       |  |
| <i>[Signature]</i> | 2        | 5,549,679   | 08/27/96                       | Kuslich                       |  |
| <i>[Signature]</i> | 3        | 6,425,923   | 07/30/02                       | Stalcup et al.                |  |

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|--|--------------------------------|
| Examiner Signature <i>[Signature]</i>  | Date Considered <i>7/21/05</i> |
| <p>*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p> |                                |

T<sup>1</sup> - Place a check mark in this area when an English language Translation is attached.

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

|                            |                             |                    |
|----------------------------|-----------------------------|--------------------|
| <b>Application No.</b>     | 10/642,399                  |                    |
|                            | <b>Filing Date</b>          | August 15, 2003    |
|                            | <b>First Named Inventor</b> | Samuel M. Shaolian |
|                            | <b>Art Unit</b>             | 3732               |
| <b>Examiner</b>            | Eduardo C. Robert           |                    |
| <b>Attorney Docket No.</b> | VLINK.033A                  |                    |

(Multiple sheets used when necessary)

SHEET 1 OF 1

**U.S. PATENT DOCUMENTS**

| Examiner Initials | Cite No. | Document Number<br>Number - Kind Code (if known)<br>Example: 1,234,567 B1 | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant | Pages, Columns, Lines Where<br>Relevant Passages or Relevant<br>Figures Appear |
|-------------------|----------|---|--------------------------------|-------------------------------|--|
| <i>MM</i>         | 1        | 6,162,223   | 12/19/00                       | Orsak et al.                  |  |

**NON PATENT LITERATURE DOCUMENTS**

| Examiner Initials | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>1</sup> |
|-------------------|----------|---|----------------|
| <i>MMV</i>        | 2        | International Search Report for Application No. PCT/US04/26112 (the PCT counterpart of the parent application).   |                |

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|   |                                       |
|---|---------------------------------------|
| <b>Examiner Signature</b> <i>Eduardo C. Robert</i>  | <b>Date Considered</b> <i>7/21/05</i> |
| *Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |                                       |

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